

***Managing Sponsored Research at Berkeley Lab
Processes Related to Establishing and Managing Awards***

**Principal Investigator
*Summary Roles and Responsibilities***

Advances:

- Works with Division Analyst prior to submitting the proposal to SPO to assure that the advance requested will cover the 4 highest months of cost (including the start up, equipment, and 4 months of operations costs) of the research award. This will assure that a positive cash position is maintained throughout the award's period of performance.

Billing the Sponsor

- Manages award within the funding limits, the period of performance timelines, and award's terms and conditions.
- Assures financial charges are allocable to the sponsored project and that expenditures are allowable and reasonable when initiated.
- Responsible for assignment of personnel to the project.
- Initiates the requisition for subcontract agreements and approves payments.
- Obtains Sponsor's approval for re-budgeting in costs categories on the project if required by Sponsor.
- Resolves cost overruns occurring on the award.
- Exercises responsible fiscal control, ensures that funds are spent appropriately and within the sponsor and Berkeley Laboratory guidelines.
- Ensures compliance with all applicable financial regulations and LBNL policies and procedures by Laboratory personnel assigned to the award and reports instances of non-compliance.
- Participates in training in financial responsibility and administration.

Invoice and Collections

- Works with Accounts Receivable, Division Analyst, and SPO Contracts Officer to resolve billing and invoice collection issues.

Costs Exceed Award Funding (Contract Value) or Occur After the Period of Performance

- Works with Division Analyst to maintain spending patterns to assure that costs will not exceed the total award funding.
- Works with Division Analyst not incur new costs after the Period of Performance.

Award Expiration and Closeout

- Completes all close out and intellectual property requirements of the Laboratory and the Sponsor; including but not limited to final technical deliverables and/or reports; submission of invention disclosures; and other reports as required.
- Responsible for completion, accuracy and timeliness of technical reports
- Works with Division Analyst to assure all costs are allocable, allowable, and final so a Final Invoice or Report can be issued according to the Laboratory and the Sponsor's fiscal closeout requirements. This includes adherence to all contractual timeframes.